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## FACSIMILE TRANSMISSION

**DATE:** February 12, 2002

| <b>TO:</b>   | <b>NAME</b>   | <b>FAX</b>          | <b>PHONE</b>   |
|--------------|---|---------------------|----------------|
|              | U.S. Patent & Trademark Office<br>ATTN: CUSTOMER SERVICE/BOX<br>FILING RECEIPT  | (703) 305-9822      | (703) 308-0910 |
| <b>FROM:</b> | Scott R. Miller, Esq.   | <b>DIRECT DIAL:</b> | (213) 229-8536 |
| <b>RE:</b>   | Re: Oskar J. Painter, et al<br>Application No.: 10/037146<br>For: "RESONANT OPTICAL MODULATORS"<br>Docket No. CQC13NP (6/174) |                     |                |

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**FILE No.:** 1317-001    **USER NUMBER:** 388    **PAGES, INCLUDING COVER:** 3

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**MESSAGE:** Dear Sir or Madam:

Attached please find the Filing Receipt for the above-identified patent application. Please note that the Domestic Priority data is incorrect, as indicated by the notations on the Filing Receipt. Please update your records to reflect the correct Domestic Priority data and reissue a corrected Filing Receipt.

If you have any questions, please feel free to contact me at the above number.

Thank you for your assistance.

Regards,

Scott R. Miller

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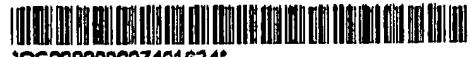
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| APPLICATION NUMBER | FILING DATE | GRP ART UNIT | FIL FEE RECD | ATTY.DOCKET.NO | DRAWINGS | TOT CLAIMS | IND CLAIMS |
|--------------------|-------------|--------------|--------------|----------------|----------|------------|------------|
| 10/037,146         | 12/21/2001  | 2874         | 937          | CQC13NP        | 22       | 83         | 2          |

CONFIRMATION NO. 5613

26719  
RIORDAN & MCKINZIE  
300 SOUTH GRAND AVENUE  
29TH FLOOR  
LOS ANGELES, CA 90071

FILING RECEIPT



0000000007401624

Date Mailed: 02/01/2002

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Oskar J. Painter, Pasadena, CA;  
Peter C. Sercel, Pasadena, CA;  
Kerry J. Vahala, San Gabriel, CA;  
David W. Vernooy, Sierra Madre, CA;  
Guido Hunziker, Altadena, CA;

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/257,248 12/21/2000  
AND CLAIMS BENEFIT OF 60/257,218 12/21/2000  
AND CLAIMS BENEFIT OF 60/111,484 12/07/1998  
AND CLAIMS BENEFIT OF 60/100,350 11/13/1998  
AND CLAIMS BENEFIT OF 60/183,499 02/17/2000  
AND CLAIMS BENEFIT OF 60/228,147 08/18/2000  
AND CLAIMS BENEFIT OF 60/170,074 12/09/1999  
AND CLAIMS BENEFIT OF 60/257,218 12/21/2000  
AND CLAIMS BENEFIT OF 60/257,248 12/21/2000  
AND CLAIMS BENEFIT OF 60/301,519 08/27/2001  
AND CLAIMS BENEFIT OF 60/333,238 11/23/2001

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Foreign Applications

If Required, Foreign Filing License Granted 01/31/2002

Projected Publication Date: 05/09/2002

Non-Publication Request: No

**Early Publication Request: No**

**" SMALL ENTITY "**

**Title**

Resonant optical modulators

**Preliminary Class**

385

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Title 37, Code of Federal Regulations, 5.11 & 5.15**

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Bib Data Sheet

CONFIRMATION NO. 5613

|                             |                                   |              |                        |                                   |
|-----------------------------|-----------------------------------|--------------|------------------------|-----------------------------------|
| SERIAL NUMBER<br>10/037,146 | FILING DATE<br>12/21/2001<br>RULE | CLASS<br>385 | GROUP ART UNIT<br>2874 | ATTORNEY<br>DOCKET NO.<br>CQC13NP |
|-----------------------------|-----------------------------------|--------------|------------------------|-----------------------------------|

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David W. Vernooy, Sierra Madre, CA;  
Guido Hunziker, Altadena, CA;

**\*\* CONTINUING DATA \*\*\*\*\***

THIS APPLN CLAIMS BENEFIT OF 60/257,248 12/21/2000  
AND CLAIMS BENEFIT OF 60/257,218 12/21/2000

**\*\* FOREIGN APPLICATIONS \*\*\*\*\***

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\*\* 01/31/2002

|                                 |  |                        |                      |                    |                         |
|---------------------------------|--|------------------------|----------------------|--------------------|-------------------------|
| Foreign Priority claimed        | <input type="checkbox"/> yes <input checked="" type="checkbox"/> no  | STATE OR COUNTRY<br>CA | SHEETS DRAWING<br>22 | TOTAL CLAIMS<br>83 | INDEPENDENT CLAIMS<br>2 |
| 35 USC 119 (a-d) conditions met | <input type="checkbox"/> yes <input checked="" type="checkbox"/> no <input type="checkbox"/> Met after Allowance |                        |                      |                    |                         |
| Verified and Acknowledged       | Examiner's Signature _____ Initials _____  |                        |                      |                    |                         |

**ADDRESS**

26719

**TITLE**

Resonant optical modulators

|                            |   |   |
|----------------------------|---|---|
| FILING FEE RECEIVED<br>937 | FEES: Authority has been given in Paper<br>No. _____ to charge/credit DEPOSIT ACCOUNT<br>No. _____ for following: | <input type="checkbox"/> All Fees<br><input type="checkbox"/> 1.16 Fees ( Filing )<br><input type="checkbox"/> 1.17 Fees ( Processing Ext. of time )<br><input type="checkbox"/> 1.18 Fees ( Issue )<br><input type="checkbox"/> Other _____<br><input type="checkbox"/> Credit |
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